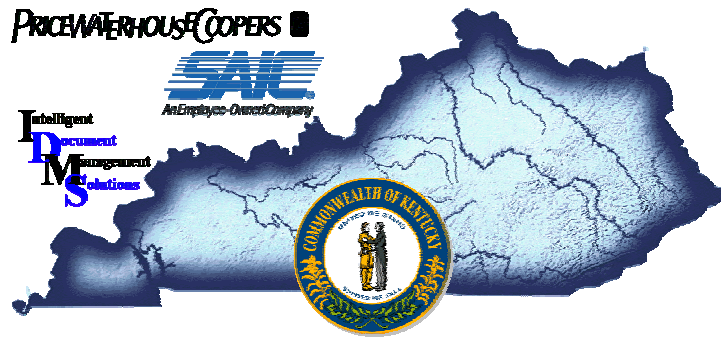


KENTUCKY UCJIS VISION VALIDATION

**Unified Criminal Justice Information System (UCJIS)
Strategic Alliance Services Request
For the Commonwealth of Kentucky**



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VISION

*(vizh' en), n. 1. The act or power of seeing. 2. Unusual foresight. 3. An image or idea of a spiritual nature seen or obtained under the influence of a divine or other agency. 4. **An imaginative conception or anticipation.** 5. A person or thing of extraordinary beauty.*

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1.0 EXECUTIVE SUMMARY

The Unified Criminal Justice Information System (UCJIS) represents a bold Commonwealth vision for dramatically improving the quality of law enforcement and justice services. The new approach to integrated justice will promote data sharing, improve case management, increase worker efficiency, and increase the safety of Commonwealth citizens, saving lives, dollars, and time. Integrated services improve the quality of information by eliminating redundant data input that often results in error. Several UCJIS-related efforts have been initiated since a UCJIS vision was established in 1998. While all have been productive and have assisted in the automation of manual processes, increased individual or multiple agency efficiencies, and have not been a waste of technology, time or monies, they have not benefited from the synergy obtained through a more coordinated effort and a focused UCJIS approach. These efforts have not been afforded the luxury of the benefits associated with tightly integrated Vision and Strategic Plans. To assist in creating a synergistic effort, in October 2000 the Commonwealth engaged the services of a joint UCJIS Team consisting of consultants from Science Applications International Corporation (SAIC), PricewaterhouseCoopers LLP (PwC), and Intelligent Document Management Solutions, Inc. (IDMS), hereafter termed the UCJIS Team.

Task I of the UCJIS Team's effort is to review and validate the Commonwealth's current vision. This document describes the approach and activities employed to validate the Commonwealth's UCJIS vision. The UCJIS Team compared the 1998 UCJIS Vision to the 2001 UCJIS vision objectives. This leads to a discussion of suggested vision modifications with supporting rationale. The result is a validated 2001 UCJIS vision statement for the Commonwealth that is relevant and inclusive of past and current UCJIS objectives.

An effective vision is more than a mission statement; it establishes a common direction for UCJIS and forms the basis for an enterprise-wide strategic plan. The validation process serves to ensure that, after more than two years, the vision still addresses all key objectives of the Commonwealth's UCJIS effort. A good vision decreases uncertainty by defining what is important to an organization. Given that the vision establishes the scope and direction for the entire project, it is imperative that it remains current and addresses the complete set of key objectives associated with the UCJIS effort. The UCJIS Team discovered that stakeholders wanted a more robust vision that articulated new priorities.

2001 VISION RECOMMENDATION

The Commonwealth of Kentucky's Unified Criminal Justice Information System (UCJIS) is a singular, logical, flexible information system for trained justice professionals. It is built upon uniquely identified individuals and events and utilizes the most effective enterprise-wide business process, to electronically capture, and securely and responsibly disseminate, at the earliest opportunity, accurate and complete data in order to increase public safety.

A vision encompasses the ideal state of an organization's future. It anticipates the end result by describing an outcome, not a process. With an unambiguous vision, the Commonwealth can expect a commonsense Strategic Plan that defines the high-level tactics necessary to achieve the stated objectives. By articulating all of the key objectives, partners in the enterprise are clear about the direction they must proceed in *together*.

2.0 THE APPROACH

Validating the current vision is an important first step to ensure the Commonwealth is moving in the right direction and agrees on a complete set of objectives. The Team utilized the Ascendant Methodology™, a trademark analytical approach developed by PwC. The Gartner Group has noted PwC's Ascendant Methodology™ as one of the best and most thorough methodologies. It has proven to be particularly useful in solving multidimensional, enterprise-wide issues similar to those currently facing the Commonwealth. The methodology framework provides for the completion of the critical steps listed below:

- Key Stakeholder Buy-In
- Key Stakeholder Input to Initial Vision
- Identification of UCJIS Processes and Systems Specific to Kentucky
- Obtaining Current Critical UCJIS Objectives
- Validation of UCJIS Objectives to Current Vision
- Modification of Vision Relevant to Objectives

These steps outline the rigorous validation of the Commonwealth's Vision.

Over 86 stakeholders from the Administrative Office of the Courts with the Court Clerks, the Office of the Attorney General with the Commonwealth's and County Attorneys, Kentucky State Police with the Jailers Association, the Department of Corrections, and the Department of Juvenile Justice have participated in more than 41 sessions. Through these interviews, the UCJIS Team gathered the information necessary to assess the current status of the UCJIS environment. The Pre-Vision Brainstorming sessions obtained key stakeholder input to the initial vision. A series of focus groups encouraged key stakeholder buy-in. The Technical and End-User Focus Groups identified the UCJIS processes and systems specific to Kentucky. Both the Pre-Vision Brainstorming Sessions and the Vision Validation Sessions gathered the current critical UCJIS objectives. What the UCJIS Team discovered prompted another look at the 1998 vision.

The key stakeholders helped the UCJIS Team make the connection between the UCJIS objectives and the current vision but also revealed a gap between the objectives defined during the 1998 Vision process and those articulated during the 2001 Vision validation process. With this new information in hand, the UCJIS Team modified the vision relevant to the new objectives.

3.0 REVIEW OF 1998 FINDINGS

The UCJIS Team reviewed the background documentation from the 1998 UCJIS meetings, specifically, the notes from the October 22 to 23, 1998 UCJIS Joint Application Development (JAD) session when the Vision was formulated. This original Vision was analyzed with the current UCJIS project stakeholders. From the list of 38 vision items identified during the JAD (see Appendix A), the UCJIS Team synthesized these into ten discrete objectives.

1. Unique Identification

(Individual, Incident, Court Case)

One of the most often repeated desires for UCJIS has been that each individual, incident and court case must be uniquely identified and that there is a mechanism to tie these three pieces of information together.

2. Electronic Data Sharing or Information Sharing

Currently the criminal justice system operates by sharing information through many manual processes. This objective for a UCJIS would be to eliminate manual work where data or information can be shared electronically.

3. A Singular, Logical Criminal History View

Currently, criminal justice professionals must query several different systems to get a complete criminal history. This objective for a UCJIS would be to provide a criminal justice professional a single comprehensive view of criminal history to the level their authority allows.

4. Reduction of Redundant Data Entry Points

Kentucky's criminal justice system has multiple databases, no standard unifying identification or cooperative data sharing agreements. This results in redundant data entry across multiple organizations. This objective of UCJIS would be to decrease data entry until there is only one point of entry into the system for any unique information.

5. Training

With the increase in the sharing of electronic data, the ownership of the data can quickly be lost. Training on how the information can and should be used needs to be provided. Further, with any new system there are new things to learn and an emphasis must be placed on the technical and professional development of criminal justice professionals. Technology and processes are only effective when the people who use them are properly trained.

6. Data Accuracy and Integrity

Criminal justice workers must be able to rely on the information provided. Therefore, any data that enters the system must be of the highest quality and timely.

7. Effective and Efficient Enterprise-Wide Criminal Justice Business Process

The business processes must be reviewed across agencies to ensure that they are optimized prior to implementing any technology solution involving those agencies.

1998 VISION

UCJIS is an information system that utilizes technology to capture electronically at the earliest opportunity data built on a set of unique identifiers (charge and individual). This data will appear as a seamless record of an individual's encounters with the criminal justice system.

8. Data Access at Point of Need (Time and Location)

Criminal justice professionals should not be limited by the location or the time when they have a data need. From the officer on patrol to the professionals who take their work home, the system should be available (within appropriate security guidelines).

9. Appropriate Data Stewardship

Each agency has certain rules and regulations that govern the use of their information. No one knows these rules better than the agencies themselves and as such they should be the stewards of the data and the enforcer of those rules and regulations.

10. Extensible, Scalable, and Interoperable Technology

Technology is constantly changing and the desire to use technology increases dramatically as information is made available to more people. In order to limit the cost of change, the system should be able to easily grow in scale to meet increasing user demands. The system should also be easy to upgrade as new and improved technology is made available. Finally, the pieces of the system should be able to operate (and be replaced) seamlessly with one another.

A vision should reflect the goals of an organization; otherwise, it is vulnerable to a diffusion of its energies and focus. In other words, the 1998 Vision should have encompassed each one of the points emphasized in 1998. Unfortunately, it did not and the Commonwealth efforts became vulnerable to strains due to varying interpretations of the “correct” direction for UCJIS. For example, the Administrative Office of the Courts (AOC) and the Kentucky State Police (KSP) have been working on finding common ground in defining “criminal history.” Because of their business process, AOC requires fingerprint and non-fingerprint supported arrest data, citation and disposition records, and pre-trial interview information, among others. KSP, on the other hand, holds only fingerprint supported arrest data. A lack of a strong vision contributes to energies being diffused.

4.0 REVIEW OF 2001 FINDINGS

The UCJIS Team had extensive discussions over the course of three months with representatives from the different agencies currently participating in the UCJIS project. These stakeholders should be commended for their willingness to shed their traditional viewpoints to embrace a concept that benefits all partners. Dialogues among project members and Commonwealth professionals were candid and forward-leaning.

Through the facilitation of these discussions, the UCJIS Team validated the 1998 vision objectives but also discovered two more goals that stakeholders wanted to see achieved. These goals centered on access authority and data security. Agency representatives recognized that not all criminal justice personnel had the business need to manipulate or even view all data. Further, much of the information was sensitive and should be treated accordingly. Stakeholders were fierce in their protection of Kentuckians' right to privacy. They wanted to ensure that a formal authorization process existed for approving access to different types of criminal justice personnel. Furthermore, any system should address the issue of confidentiality, protecting any sensitive data from inappropriate use. These two goals were important to every agency and were therefore elevated to vision objectives.

VISION OBJECTIVES

1998 VISION OBJECTIVES

1. *Unique Identification*
2. *Electronic Data Sharing*
3. *A Singular, Logical Criminal History View*
4. *Reduction of Redundant Data Entry Points*
5. *Training*
6. *Data Accuracy and Integrity*
7. *Effective Enterprise-Wide Criminal Justice Business Process*
8. *Data Access at Point of Need*
9. *Appropriate Data Stewardship*
10. *Extensible, Scalable and Interoperable Technology*

2001 VISION OBJECTIVES

11. *Access Authority*
12. *Data Security*

5.0 2001 VISION RECOMMENDATIONS

A vision establishes a common sense of direction that, in turn, drives the strategy. With a clear vision, future projects can be prioritized and aligned with saving in resources (time and money). A vision answers many of the questions surrounding change. Why are we changing? What will be the benefits? What will the organization be like? A vision motivates people, reduces uncertainty, and helps place the focus on outcomes rather than process. A good vision can tie all individual agencies and their relevant projects together. A good vision is not a prediction of the future, a detailed blueprint, a “mission” statement, a wish list, or imposed from the outside. Rather, a good vision is based on deep thinking about the challenges and opportunities facing an organization and what the future might be like.

A review of the 1998 vision statement found that most of the 1998 objectives were not clearly articulated. This discrepancy diluted the Commonwealth’s energies. With justification, stakeholders were able to focus their interests on varying initiatives because there was a weak focal point. Only four of the objectives were expressly articulated:

- Unique identification
- Electronic data sharing
- A singular, logical criminal history view
- A reduction of redundant data entry points

The rest were left open to interpretation. For example, the need for a rational, enterprise-wide business process was not mentioned. Professional training and data accuracy and integrity were not directly addressed. Neither were appropriate data stewardship, flexible technology, or data access at point of need. Without clear guidelines, Commonwealth stakeholders made the case for a stronger vision.

With prompting from the stakeholders, the UCJIS Team developed an enhanced vision statement.

2001 VISION RECOMMENDATION

The Commonwealth of Kentucky’s Unified Criminal Justice Information System (UCJIS) is a singular, logical, flexible information system for trained justice professionals. It is built upon uniquely identified individuals and events and utilizes the most effective enterprise-wide business process, to electronically capture, and securely and responsibly disseminate, at the earliest opportunity, accurate and complete data in order to increase public safety.

This enhanced vision is a solid description of a unified criminal justice information system for Kentucky.

The 2001 Vision Recommendation directly addresses the hopes of Kentucky justice professionals. All objectives are contained within the vision. It is important to articulate each of the desired objectives within the vision. The vision sets the tone and direction of the strategic plan and therefore must encompass the agreed upon goals. The requirement for a unique identification is encompassed in the

first part of the second sentence, “built upon uniquely identified individuals and events.” Electronic data sharing is spoken to with the word “flexible information system.” Justice professionals want a singular, logical criminal history view; this requirement is satisfied with the qualifiers “singular, logical.” Stakeholders also want a reduction of redundant data entry points: “electronically capture...at the earliest opportunity.”

The next eight points are introduced into Kentucky’s vision. The need for training is emphasized with “trained professionals.” The importance of data access authority, stewardship, accuracy and security, timeliness, effective business processes, and flexible technology are all named.

The 2001 Vision Recommendation presented above specifically addresses the set of objectives developed by the various stakeholders within the Commonwealth. It definitively describes the future state of UCJIS as Kentucky sees it.

- *Why is change necessary?*

A vision and the objectives defined within a project must be aligned and fully integrated with the project’s Strategic Plan. As such, the 2001 Vision must clearly articulate the concepts surrounding each key objective. A strong vision leaves little to interpretation lending a common direction to disparate efforts.

- *What are the benefits?*

The 1998 Vision discusses a “seamless record of an individual’s encounters with the criminal justice system.” The 2001 Vision builds on the 1998 vision by describing what aspects are involved with a seamless record.

- *What will the organization be like?*

The 2001 Vision Recommendation identifies an environment where criminal justice professionals will be provided training and, when authorized, will be able to obtain accurate and complete data in a timely manner regardless of location.

The Commonwealth of Kentucky made an auspicious beginning to UCJIS in 1998. Its 2001 efforts should place it among the nation’s leaders. While the 1998 Vision established a benchmark, the 2001 Vision Recommendation follows through extensively with an aggressive focus and determination. The 2001 Vision Recommendation articulates not only the future state of UCJIS but also provides answers to why change is important and what benefits should be expected. The 2001 Vision Recommendation gives criminal justice representatives an understanding of the objectives of UCJIS and the importance of their contribution. With the 2001 Vision Recommendation, the Commonwealth is assured of consensus and clarity of purpose.

Appendix A

1998 VISION OBJECTIVES

This appendix contains the exact list of the 38 vision items identified during the UCJIS Joint Application Development (JAD) October 22 to 23, 1998. The UCJIS Team has distilled these into the aforementioned Vision Objectives.

- User is able to access one point of entry for information
- Comprehensive database affording complete individual history
- Data bank holding criminal history, charges and dispositions, and new or existing change status, i.e., AWOL
- Ability of each agency to pull from, add to, the data bank
- One central data bank encompassing and collecting from all criminal justice agencies
- The data captured at point of origin as part of work process. No overhead for reporting or sharing
- System with single point of criminal history data with no duplicate entry
- One point of access with options for information wanted
- By entering SID number or other identifying information – system will produce entire criminal history of offender
- A system that can identify and track each subject from first contact to final disposition
- System is user-friendly and information is entered soon after event occurs, which enables accurate information
- Well-trained agencies at additional contact getting all pertinent data to be entered
- Query significant criminal event, attributable to an individual, will be biometrically supported from charging through adjudication and rehabilitation
- See court and arrest information for juvenile information on entry to DJJ
- Comprehensive data collection regarding criminal offenses done by individual
- Total cooperation and communication among agencies assisting each other with the same goal
- Seamless appearance
- Cooperation among all agencies and persons who can collect and input data
- Multi-departmental data entry
- Easy to personalize request for information request screen
- User not having to physically review hard copy files as often
- Option in system to request information held in ancillary database through controlling department
- Have all information readily available to agency staff

- Develop method/process to easily access and share information
- System that can query a master name – then show different aspects of offender’s history. You can choose which direction to look up
- One point of access with multiple information options
- No paper pushing
- AFIS/LiveScan in all adult and juvenile facilities
- Truth as best we can. Better than now
- Up-to-date
- System can scan picture of offender and then produce wanted information
- Voice command responses
- Police officer with mobile data terminals to access UCJIS
- Beginning to end, linear, continuous flow of data for each individual
- Unified jail and connection management system for each jail
- Centralized mug shot system with entry at each jail or juvenile facility
- A system that can be maintained and modified without drastic problems to all agencies
- Technical support, well-trained and funded
- Access not restricted by hardware, software, communications (can operate at the lowest level of technology)

Appendix B

ACRONYMS AND ABBREVIATIONS

AFIS ----- Automated Fingerprint Identification System
AOC----- Administrative Office of the Courts
AWOL----- Absent Without Leave
DJJ ----- Department of Juvenile Justice
IDMS ----- Intelligent Document Management Solutions, Inc.
JAD ----- Joint Application Development
KSP ----- Kentucky State Police
KY----- Kentucky
PwC ----- PricewaterhouseCoopers LLP
SAIC ----- Science Applications International Corporation
SID ----- State Identification Number
UCJIS----- Unified Criminal Justice Information System